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Department of Defense

DIRECTIVE

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November 2, 1988
NUMBER 3020.36

USD(P)

SUBJECT: Assignment of National Security Emergency Preparedness (NSEP)
Responsibilities to DoD Components

References: (a) DoD Directive S-3020.36, "Assignment of Emergency Preparedness Responsibilities to Department of Defense Components (U)," August 28, 1973 (hereby canceled)
(b) DoD Directive 5100.1, "Functions of the Department of Defense and Its Major Components," September 25, 1987
(c) Executive Order 11490, "Assigning Emergency Preparedness Functions to Federal Departments and Agencies," October 28, 1969, as amended
(d) National Security Decision Directive (NSDD) 47, "Emergency Mobilization Preparedness," July 22, 1982
(e) through (jj), see enclosure 1

A. REISSUANCE AND PURPOSE

This Directive:

1. Reissues reference (a).
2. Updates policies and assigns responsibilities for developing emergency preparedness measures to enhance DoD readiness posture.

B. APPLICABILITY AND SCOPE

This Directive applies to:

1. The Office of the Secretary of Defense (OSD), the Military Departments and their field activities (including their National Guard and Reserve components), the Coast Guard (by agreement with the Department of Transportation (DoT)), the Joint Staff, the Unified and Specified Commands, and the Defense Agencies (hereafter referred to collectively as "DoD Components"). Guidance to the Unified and Specified Commands shall be provided by the Joint Staff.

2. The national security and domestic emergency preparedness functions of the various DoD Components, including those under reference (b), that complement the civil readiness planning responsibilities of the civil Departments and Agencies. Together, these measures provide the basic foundation for an overall national preparedness posture and are fundamental to the ability of a viable Government to survive. The Department of Defense, along with the other Departments and Agencies of the Federal Government, is charged by references (c) and (d), and NSDD 188 (reference (e)) with the duty of ensuring that the United States has an emergency preparedness capability to respond decisively and effectively to any major national emergency, with defense of the United States as first priority.

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C. DEFINITIONS

Terms used in this Directive are defined in enclosure 2.

D. POLICY

1. Mobilization plans shall be designed for timely implementation in response to a full range of warning indications from early and ambiguous to short and tactical warnings.

2. Each DoD Component shall share the general responsibilities for emergency preparedness, mobilization planning, and crisis management including ensuring the continuity of Government in any national security or domestic emergency situation, as directed in DoD Directive 3020.26 (reference (f)). Each DoD Component shall plan for survival, recovery, and reconstitution of its essential functions, including the timely relocation and protection of successors, each of whom should be supported by an austere emergency staff and essential communications. Each DoD Component should identify alternate headquarters, emergency relocation sites, or other permanent facilities to use during emergency preparedness situations. In an evolving crisis, each DoD Component should be capable of the following:

- a. Surviving and reconstituting the control organization for the DoD Component.
- b. Reorganizing and redirecting resources.
- c. Coordinating with appropriate Agencies.
- d. Implementing decisions and Directives.
- e. Reestablishing command and control.
- f. Ensuring the performance of essential functions.

3. Additionally, each DoD Component with essential functions, whether specified in this Directive or not, shall develop appropriate plans and shall take such actions as may be needed to ensure that it shall be able to perform essential functions and to continue as a viable part of the Department of Defense during emergencies. Each DoD Component shall prepare for all national security and domestic emergencies in coordination with appropriate Federal, State, and local governments; other DoD Components; and elements of the private sector, particularly in the emergency preparedness for mobilization. Specific responsibilities for emergency preparedness are in section E., below.

E. RESPONSIBILITIES

The Department of Defense Components shall:

- 1. Develop and execute national defense plans and shall:

- a. Plan for transitioning from peacetime to wartime activities.
 - b. Include in plans all gradations of mobilization.

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2. The DoD Components shall be prepared to implement their emergency preparedness plans. These plans may be implemented only if the authority for implementation is provided by law enacted by the Congress, an order or Directive issued by the President, or an order or Directive issued by the Secretary of Defense.

3. The Head of each DoD Component is hereby authorized to redelegate the functions assigned by this Directive and to authorize successive redelegations, as considered appropriate. Nothing in this Directive shall alter any existing assignment of functions to any DoD Component made by statute, Executive order, Presidential Directive, DoD Directive, or other orders or Directives.

4. The Under Secretary of Defense (Policy) (USD(P)), in addition to implementing the responsibilities assigned by DoD Directive 5111.1 (reference (g)), shall:

a. Provide oversight and policy direction on NSEP and crisis management programs within the Department of Defense, including reviewing and integrating plans, policies, and programs regarding:

- (1) Threat assessment.
- (2) Mobilization.
- (3) Determination of the political and military implications of a crisis.
- (4) Recommended military objectives.
- (5) Continuity of operations and continuity of Government.
- (6) Use of military resources in support of civil authorities.
- (7) Succession to the OSD.

b. Provide policy guidance on key asset protection, land defense of the Continental United States (CONUS), and military support to civil defense (MSCD). (See DoD Directives 3025.10, 3025.12, 5030.45, and 5160.54 (references (h) through (k)).)

c. Prepare appropriate departmental documents to support national emergency plans, including continuity of operations plans, graduated mobilization response (GMR), and DoD portions of other Federal Agency plans.

d. Support the Secretary of Defense in his oversight role of the U.S. Civil Defense Program.

e. Represent the Department of Defense in mobilization matters involving the National Security Council (NSC) and Federal Emergency Management Agency (FEMA). Act as the lead office for other interdepartmental coordination of this matter.

f. Coordinate the development and updating of the DoD Emergency Authorities Retrieval and Analysis System (DEARAS).

g. Provide policy guidance on national preparedness, security, GMR actions, civil defense, and other DoD programs of FEMA and State and local governments.

h. Act as the central point of interagency coordination on emergency preparedness functions and actions for the Department of Defense.

i. Direct activities of the Crisis Management System (CMS), established by this Directive, to expedite coordination within the Department of Defense and between the Department of Defense and other Federal Departments and Agencies, and to provide a single OSD locus for crisis information during national security or domestic emergencies or crises. (See enclosure 3.)

j. Advise and assist the FEMA in developing and reviewing plans and programs for:

(1) Physical security of industries, services, and other activities.

(2) Use of industry and natural resources.

(3) Stabilization of the economy.

(4) Conversion of the economy to crisis requirements essential to national security.

k. Provide emergency preparedness planning guidance and direction to ensure a high state of readiness is maintained by each DoD Component. This responsibility includes the scheduling of appropriate levels of training and testing of emergency plans.

l. Provide direction for conducting national security exercises, including JCS-sponsored, interagency, and other exercises, games, and simulations, including management of remedial action projects within the OSD.

m. Approve for the Secretary of Defense the transfer of emergency preparedness functions between DoD Components with the consent of the Heads of the respective DoD Components, or recommend that functions be transferred between DoD Components or between Federal Departments and Agencies.

n. Represent the Secretary of Defense as the DoD member of the Senior Interagency Group for NSEP under NSDD 188 (reference (e)).

o. Chair the Mobilization Steering Group established by DoD Directive 5111.2 (reference (1)), and coordinate the development of an OSD mobilization, development, and sustainment decision-support sub-system, including information requirements determination and sources of information to ensure that the Department of Defense can respond decisively and effectively to any major U.S. emergency.

p. Provide policy direction for DoD security assistance matters, monitor Military Assistance Advisory Groups (MAAGs) and other entities involved in security assistance, and negotiate and monitor security agreements with foreign governments.

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q. Provide counterintelligence, foreign disclosure, and security policy guidance and support.

r. In consultation with the Under Secretary of Defense (Acquisition) (USD(A)), assist FEMA and other concerned Departments and Agencies in developing emergency preparedness measures involving international trade, domestic production, and foreign exchange issues.

s. Through the OSD- and JCS-sponsored exercise programs, test and verify the effectiveness of mobilization and crisis management plans, programs, and procedures.

t. Develop and coordinate with the Department of State (DoS), as necessary, policies and initiative with foreign countries relating to basing rights; overflight and landing rights; ports, port facilities, and transportation usage; host-nation support agreement; and other commitments required to allow rapid mobilization and deployment.

5. The Under Secretary of Defense (Acquisition) (USD(A)), in addition to implementing the responsibilities assigned by the Secretary of Defense Memorandum (reference (m)), shall:

a. Provide general oversight and policy direction on all aspects of industrial surge and mobilization and preparations for augmenting DoD's telecommunications and logistical support capabilities in mobilization situations with resources from other Federal Departments and Agencies, the domestic civil sector, and allied and/or friendly foreign nations.

b. Provide policy guidance for the development of acquisition strategies to support surge and graduated mobilization of industry, analysis of production base capabilities to support operations plans, correlation of military procurement and domestic production, review of military material requirements, and augmentation of telecommunications and logistic support capabilities.

c. Represent the Secretary of Defense on appropriate international and interagency groups and advisory bodies on matters of U.S. concern related to its assigned functions.

6. The Director of Defense Research and Engineering (DDR&E) shall:

a. Supervise or conduct research in areas directly concerned with implementing emergency preparedness responsibilities.

b. Designate representatives for necessary ad hoc or task force groups to advise on technical matters on emergency preparedness to include review, consolidation, and prioritization of research and development programs in crises.

c. Provide advice and assistance to other DoD Components in planning for research involving each DoD Component's specific area of interest.

d. Represent the Department of Defense on interagency groups or advisory bodies to advise on scientific and technological considerations involved in areas of national concern. This excludes telecommunications bodies and groups for which the Assistant Secretary of Defense (Command, Control, Communications,

and Intelligence) (ASD(C³I)) is responsible, and technology for special operations forces.

e. Provide guidance for augmenting DoD scientific and technical capabilities in a crisis.

7. The Assistant Secretary of Defense (Production and Logistics) (ASD(P&L)), in addition to carrying out the responsibilities assigned by DoD Directive 5128.1 (reference (n)), shall:

a. Develop policies, procedures, and systems for the emergency application of priorities and allocations of materials, services, and resources. Administer priorities and allocation authorities delegated to the Department of Defense.

b. Prepare plans to claim or acquire supporting materials, equipment, supplies, and services needed to carry out essential DoD functions.

c. Ensure that the Military Departments and the Defense Agencies develop plans for salvage, decontamination, rehabilitation, and construction of facilities, as well as the continuing operation of essential facilities.

d. Act as the National Defense Stockpile Manager for stockpiling of strategic and critical materials and developing a national system of durable goods production priorities.

e. In coordination with the USD(P) and the Department of Energy (DoE), advise and assist FEMA in developing a system for the international allocation of petroleum materials and petroleum products among the United States, allies, and favored nations in a crisis.

f. Advise and assist the DoE and other concerned Agencies in developing production and distribution control plans for use in energy crises and emergencies.

g. In coordination with industry, develop plans and programs for procuring and producing selected military equipment and supplies needed to increase readiness and sustainability of existing and expanded forces.

h. Recommend measures for overcoming potential deficiencies in production capacity to produce selected military supplies and equipment.

i. Develop candidate projects to expand domestic production capacities.

j. Provide policy guidance and oversight on the use of strategic and critical materials in production of military weapon system and associated industrial processes.

k. Provide policy guidance to DoD Components and other Federal Departments and Agencies for emergency preparedness measures associated with maintenance of an adequate mobilization production base for military supplies and equipment.

l. In consultation with the U.S. Attorney General, the Federal Trade Commission (FTC), industry, labor, finance, and other interests, develop plans

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and programs for voluntary agreements with industry as outlined in P.L. 81-774 (reference (o)).

m. Provide the Department of Commerce (DoC) with DoD's machine tool trigger order (MTTO) requirements to support surge and mobilize requirements.

n. In coordination with the Office of the USD(P) and other appropriate DoD Components, identify facilities important to the national defense for protection under the Key Assets Protection Program (KAPP).

o. Furnish military transportation requirements to the DoT and arrange for orderly transfer or use of Federal and civil transportation resources by the Department of Defense during mobilization and national emergencies.

p. Ensure that the Military Departments and Defense Agencies develop standby legislation to exempt the DoD defense industries from environmental statutes during emergencies, and develop plans and emergency funding procedures to meet additional pollution reduction and/or abatement facility requirements.

q. In coordination with the USD(P), develop guidelines for support to allied and friendly forces.

r. In coordination with the USD(P) staff, the DoD Components, and the DoS, develop policies and procedures for wartime host-nation support of U.S. forces.

s. In coordination with the Department of Justice (DoJ), ensure that Military Departments and DoD Agencies have plans for DoD and DoJ presentation of eminent domain proceedings if requisition and condemnation actions should be denied.

8. The Assistant Secretary of Defense (Command, Control, Communications, and Intelligence) (ASD (C3I)), in addition to implementing the functions assigned by DoD Directive 5137.1 (reference (p)) and DoD Directive 5100.41 (reference (q)), shall:

a. Assist the Director, Office of Science and Technology Policy (OSTP), in the exercise of war powers of the President under Section 706 of the Communication Act of 1934 (reference (r)).

b. As a member of the Joint Telecommunication Resources Board (JTRB), assist the Director, OSTP, in the exercise of his or her non-war emergency functions on the provision, management, or allocation of Federal telecommunications resources.

c. Assist the Secretary of Defense, when acting as Executive Agent for the National Communication System (NCS), and provide staff oversight of the activities of the Manager, NCS, that are outlined in E.O. 12472 (reference (s)).

d. Develop plans for use of existing communications facilities and determine military requirements for additional commercial services and facilities that might be needed during a crisis.

e. In coordination with the Federal Communication Commission (FCC) and the DSTP, develop plans and programs for the emergency control of all devices capable of emitting electromagnetic radiation.

f. In coordination with the DoT and the FCC, develop plans for the emergency control of civil and military air traffic and of associated navigation, position fixing, and identification systems.

g. Provide policy guidance and support for intelligence activities within the Department of Defense, including guidance for intelligence preparedness planning and programming for survivability of intelligence capabilities.

h. Represent the Secretary of Defense in staff supervision of national intelligence collection assets of the Department of Defense.

i. Develop the means for assessing the capabilities of surviving intelligence collection, processing, analysis, and dissemination capabilities for the Secretary of Defense.

j. Provide policy guidance on acquisition of intelligence information by nonintelligence elements of the Department of Defense.

k. Represent the Secretary of Defense on interagency groups or advisory boards dealing with intelligence preparedness problems.

l. Delegate representatives, as necessary, to support ad hoc or task force groups handling intelligence matters for emergency preparedness.

m. Represent the Secretary of Defense as the DoD member on interagency groups or advisory bodies to advise on scientific and technological considerations involved in low-intensity conflicts and for special operations forces.

9. The Assistant Secretary of Defense (Comptroller) (ASD(C)), in addition to implementing the functions assigned by DoD Directive 5118.3 (reference (t)), shall:

a. In coordination with the Assistant Secretary of Defense, Program Analysis and Evaluation (ASD(PA&E)), establish procedures for developing crisis budgets.

b. Develop plans and procedures for providing financial and credit assistance to the private sector that may be called on to provide emergency assistance to the Department of Defense.

c. Develop, as appropriate, pre-cleared wartime fiscal and property procedures for expeditious release during a crisis or wartime.

10. The Assistant Secretary of Defense (International Security Affairs) (ASD(ISA)), in addition to carrying out other assigned functions, including those in DoD Directive 5111.1 (reference (g)), shall:

a. Provide advice, recommend policies, formulate programs, develop plans, and issue guidance to DoD Components on political-military activities

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related to international affairs, excluding the North Atlantic Treaty Organization (NATO), other European nations, and the Union of Soviet Socialist Republics (U.S.S.R).

b. Oversee DoD activities related to laws of the sea.

c. Formulate policies and provide guidance on plans for general purpose forces, non-European and non-NATO regional security requirements, and related budget considerations.

11. The Assistant Secretary of Defense (International Security Policy) (ASD(ISP)), in addition to implementing other assigned functions, including those in DoD Directive 5111.1 (reference (g)), shall:

a. Provide advice and counsel on nuclear matters.

b. Provide advice, recommend policies, formulate programs, develop plans, and issue guidance to DoD Components on political-military activities related to international affairs or crises involving NATO, other European nations, and the U.S.S.R.

c. Oversee arms control activities in the Department of Defense.

d. Formulate policies and provide guidance on plans for nuclear forces, general purpose forces, NATO, European security requirements, and related budget considerations.

12. The Assistant Secretary of Defense (Reserve Affairs) (ASD(RA)), in addition to implementing the functions assigned by DoD Directive 5125.1 (reference (u)), shall:

a. Support Reserve component mobilization and shall assist in implementing policy on management and use of Selected Reserves and policies on individual manpower, including military retirees.

b. Monitor organization and DoD Agency programs requiring Reserve component support for national emergency preparedness and other essential functions.

c. Assist in reconstituting Reserve component forces, as required.

13. The Assistant Secretary of Defense (Legislative Affairs) (ASD(LA)), in addition to implementing the functions assigned by DoD Directive 5142.1 (reference (v)), shall:

a. Assist DoD Components in preparing and justifying standby and emergency legislation.

b. Plan for increased peacetime and crisis coordination with Congress to assist with the GMR program, incremental budget packages, and legislative initiatives to support graduated mobilization in response to an emerging crisis.

c. Assist in developing plans for informing Congress of the identification and designation of Ready Reserve units and individual Reservists selected for mobilization.

14. The Assistant Secretary of Defense (Force Management and Personnel) (ASD(FM&P)), in addition to implementing the functions assigned by DoD Directive 5124.2 (reference (w)), shall:

a. In coordination with the ASD(RA) and the Assistant Secretary of Defense (Health Affairs) (ASD(HA)), develop policies and programs for use by the National Defense Executive Reserve (NDER) within the Department of Defense.

b. In coordination with the Military Departments, the ASD(P&L), Selective Service System (SSS), National Science Foundation (NSF), DoC, Department of Labor (DoL), Department of Education, and Department of Health and Human Services (DHHS) maintain a continuing surveillance over the U.S. manpower and educational needs. This is necessary in order to identify particular occupations, skills, or graduate study that in the national interest would qualify a Reservist, inductee, or applicant for deferment from military duty.

c. Advise and assist FEMA in developing overall manpower policies to be used during an emergency, including providing information on the planned size and composition of the Armed Forces.

d. Develop systems, including the National Accession Planning and Execution System, and plans that shall ensure that sufficient military, DoD civilian, and contractor manpower is available to guarantee the nation's ability to mobilize, deploy, and sustain military operations consistent with national defense priorities, industrial capabilities, and legal guidelines.

e. Prepare and update the DoD Master Mobilization Plan that provides graduated mobilization policies and responsibilities, as well as a description of the mobilization process.

f. Develop systems and plans to ensure that DoD human resources are available in the requisite numbers and skills to support and sustain the Armed Forces in a national emergency or crisis.

g. Advise and assist the DoS and the DHHS in planning for the protection and evacuation of dependents, civilian employees, other U.S. citizens, and designated aliens abroad.

15. The Assistant Secretary of Defense (Health Affairs) (ASD(HA)), in addition to implementing the functions assigned by DoD Directive 5136.1 (reference (x)), shall:

a. Develop systems and plans to ensure that sufficient medical personnel, supplies, equipment, and facilities shall be available and shall be ready to deploy for meeting essential military health care needs in an emergency.

b. Activate and ensure coordination, as appropriate, the two primary medical backup systems for the Department of Defense:

(1) The Veterans' Administration and/or the Department of Defense Contingency System.

(2) The National Disaster Medical System.

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16. The Assistant Secretary of Defense (Public Affairs) (ASD(PA)), in addition to implementing the functions assigned by DoD Directive 5122.5 (reference (y)), shall provide for public dissemination of essential information and shall plan for prerecordings to provide continuity of program service over the Emergency Broadcast System during crises.

17. The General Counsel, Department of Defense (GC, DoD), in addition to executing the functions assigned by DoD Directive 5145.1 (reference (z)) and in response to requests from DoD Components seeking specific measures of legal relief considered essential to the performance of DoD Components' responsibilities under this Directive, shall do the following:

- a. Review the adequacy of legal authorities.
- b. Draft packages for current legislative initiatives.
- c. Draft standby packages for legislative initiatives that could be taken by DoD Components in response to a future emerging national emergency.

18. The Assistant Secretary of Defense (Program Analysis and Evaluation) (ASD(PA&E)), in accordance with responsibilities assigned by DoD Directive 5141.1 (reference (aa)), shall:

- a. Develop procedures to assess mobilization requirements, plans, and programs as part of the overall Planning, Programming, and Budgeting System (PPBS).
- b. Develop procedures to review changes to the DoD program during mobilization and crisis in his or her capacity as Executive Secretary to the Defense Resources Board (DRB) (Programming Phase) under DRB Memo 84-16 (reference (bb)).

19. The Assistant to the Secretary of Defense (Atomic Energy) (ATSD(AE)), in addition to carrying out the responsibilities assigned by DoD Directive 5148.2 (reference (cc)), shall:

- a. Formulate policy and provide planning advice and assistance on nuclear and chemical development and operational program matters including:
 - (1) Strategies for weapon development, fabrication, and deployment.
 - (2) Safety, security, and survivability consideration.
 - (3) In coordination with the USD(P) and the Military Departments, physical security of DoD nuclear and chemical facilities.
- b. Interact with the DoE and the FEMA to obtain advice and support on these matters.
- c. Assist Federal, State, and local officials in protecting the public health and safety from nuclear and chemical hazards.
- d. Coordinate with the ASD(PA) on the release of public information in this area.

20. The Assistant Secretary of Defense (Special Operations and Low-Intensity Conflict) (ASD(SO/LIC)), in addition to carrying out the responsibilities assigned by DoD Directive 5138.3 (reference (dd)), shall oversee special operations activities within the Department of Defense.

21. The Inspector General, Department of Defense (IG, DoD), in addition to the responsibilities assigned by DoD Directive 5106.1 (reference (ee)), shall:

a. Review OSD staff and Defense Agency compliance with assigned emergency preparedness responsibilities and functions, as a feature of ongoing inspections.

b. Review OSD staff and Defense Agency planned emergency actions to isolate initiatives having significant potential for fraud, waste, and mismanagement and recommend safeguards consistent with constraints imposed by emergency conditions.

c. Monitor mobilization and logistics exercises, and implementation of post exercise corrective measures.

d. Establish and maintain crisis management planning and coordination liaison with DoD Components.

e. Review, in conjunction with OSD staff and Defense Agencies, accomplishment of objectives in various areas such as:

(1) Major base development and programs.

(2) Manpower acquisition and distribution.

(3) Critical supply issues and replenishment programs.

(4) Industrial base expansion incentives programs.

(5) Expanded contract administration surge.

(6) Fiscal management and audit support for host-nation agreements.

22. The Joint Chiefs of Staff (JCS), in addition to carrying out the missions and functions assigned by DoD Directive 5100.1 (reference (b)) and DoD Directive 5158.1 (reference (ff)), shall:

a. Provide time-phased materiel requirements for scenarios identified for GMR option development.

b. Participate in evaluating and resolving resource claimancy and allocation through the Joint Materiel Priorities and Allocation Board and the Joint Transportation Board.

c. Develop and operate joint damage assessment and recovery systems for military forces and installations, as well as key civilian industrial facilities supporting the Department of Defense.

d. Maintain a capability, both at national and field levels, to estimate the effects of an enemy attack on military and civilian support

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resources, and assist FEMA and other Agencies in verifying and updating estimates of remaining resources.

e. Plan and conduct a comprehensive national security exercise program on behalf of the Secretary of Defense. This program should include field training and command post exercises in a coordinated schedule of JCS-sponsored, -directed, and -coordinated exercises responsive to USD(P) guidance, including the Defense Guidance.

f. Manage the Joint Deployment System (JDS), the Joint Operation Planning System (JOPS), and the follow-on Joint Operation Planning and Execution System (JOPES) for the Department of Defense.

23. The Military Departments, in addition to carrying out the functions assigned by DoD Directive 5100.1 (reference (b)), shall:

a. Support and participate in the emergency preparedness activities.

b. Support Joint Staff deliberate and time-sensitive military requirements for selected end-items and supporting personnel, materiel, services, and facilities needed to respond to crises, and develop graduated mobilization programs.

c. Develop and furnish the OASD(P&L) industrial base capability assessments and investment strategies to support GMR options.

24. The Secretary of the Army, in addition to carrying out the emergency preparedness missions assigned in reference (b), shall:

a. Prepare to relinquish peacetime missions associated with military support to the civil sector to the Commander in Chief, Forces Command (CINCFOR), as directed by the JCS upon decision of the National Command Authorities (NCA) in crisis, mobilization, or war.

b. Develop overall plans for the management, control, allocation, and use of the water and water resources of the nation consistent with the planning efforts of those Federal Departments and Agencies having specific statutory or delegated water responsibilities. Coordinate emergency water resource planning at the regional, State, and local levels through the Federal Departments and Agencies concerned with each area of planning. Under this section, "water" means all usable waters from all sources within U.S. jurisdiction that can be managed, controlled, and allocated to meet emergency requirements.

c. Develop plans and maintain river control operations for the prevention or control of floods caused by natural phenomena or overt or covert attack affecting those bodies of water and water resources under the jurisdiction of the Secretary of the Army.

d. Develop plans for emergency assistance to public water supply utilities working through Agencies having primary responsibility and with State and local governments.

e. With respect to all inland waterways, canals, harbors, and navigation channels within the United States and its possessions and territories, develop emergency plans and procedures for:

(1) Improving, restoring, rehabilitating, operating, and maintaining components of federally authorized river and harbor projects.

(2) Locating and removing obstructions to navigation.

(3) Dredging to clear and straighten navigation channels.

This is accomplished in consultation with the DoJ, Coast Guard, Department of Interior (DoI), and other affected Federal Agencies.

NOTE: In matters affecting the Tennessee River and its tributaries, emergency plans and procedures are developed in cooperation with the Tennessee Valley Authority (TVA).

f. As Executive Agent for the Department of Defense and in coordination with the DoS, DHHS, and appropriate DoD Components, develop plans for non-combatant evacuation operations, repatriation, CONUS reception, and onward movement.

25. The Director, Defense Mapping Agency (DMA), in addition to carrying out the functions assigned by DoD Directive 5105.40 (reference (gg)), shall:

a. Advise and assist FEMA and other Federal Departments and Agencies in determining and fulfilling mapping, charting, and geodesy requirements related to emergency preparedness.

b. Advise and assist the DoC, DoI, and other Federal Departments and Agencies in the development of mapping, charting, and geodesy production plans for use in crises and domestic emergencies.

26. The Director, Defense Communications Agency (DCA), in addition to carrying out the functions assigned by E.O. 12472 and DoD Directive 5105.19 (references (s) and (hh)), shall:

a. Act as Manager of the NCS and carry out the functions assigned to the Manager, NCS, by reference (s).

b. Advise and assist FEMA and other Federal Departments and Agencies in the development of information system architectures, telecommunications requirements, and communications support plans necessary to satisfy requirements for all peacetime circumstances including domestic emergencies.

c. Advise and assist the ASD(C3I) in the functioning of the NCS in his or her role as NCS Manager in accordance with reference (s).

d. Provide those personnel and equipment required by reference (s) and NSDD 47 (reference (d)) and internal requirements to Federal services, Agencies, and Departments.

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e. Provide operational direction and management control of the current Defense Communications System (DCS), which includes the planning, system engineering, and project management of the evolving DCS.

f. Ensure the ability of the DCS to be responsive at all levels of conflict, exercising operational direction and management control through the National Communications System and/or Defense Communication Agency Operations Center (NCS/DCAOC), DCA Europe, and DCA Pacific.

27. The Director, Defense Logistics Agency (DLA), in addition to carrying out the functions assigned by DoD Directive 5105.22 (reference (jj)), shall:

a. Support and participate in emergency preparedness activities.

b. Develop and furnish to the OASD(P&L) industrial base capability assessments and investment strategies to support GMR options.

c. Incorporate GMR into the Program Objectives Memorandum (POM) development cycle.

d. Stockpile and manage strategic and critical materials in the national defense stockpile.

F. EFFECTIVE DATE

This Directive is effective immediately.



William H. Taft, IV
Deputy Secretary of Defense

Enclosures - 3

1. References
2. Definitions
3. The OSD CMS

REFERENCES, continued

- (e) National Security Decision Directive (NSDD) 188, "Government Coordination for National Security Emergency Preparedness," September 16, 1985
- (f) DoD Directive 3020.26, "Continuity of Operations Policies and Planning," October 24, 1985
- (g) DoD Directive 5111.1, "Under Secretary of Defense for Policy," September 27, 1985
- (h) DoD Directive 3025.10, "Military Support of Civil Defense," July 22, 1981
- (i) DoD Directive 3025.12, "Employment of Military Resources in the Event of Civil Disturbances," August 19, 1971
- (j) DoD Directive 5030.45, "DoD Representation on Federal Emergency Management Agency (FEMA) Regional Preparedness Committees and Regional Field Boards," November 29, 1983
- (k) DoD Directive 5160.54, "DoD Key Assets Protection Program (KAPP)," December 5, 1986
- (l) DoD Directive 5111.2, "Department of Defense Mobilization and Deployment Study Group," April 2, 1979
- (m) Secretary of Defense Memorandum on the Responsibilities for the Under Secretary of Defense (Acquisition), September 30, 1986
- (n) DoD Directive 5128.1, "Assistant Secretary of Defense (Acquisition and Logistics)," November 19, 1985
- (o) Public Law 81-774, "Defense Production Act of 1950," September 8, 1950
- (p) DoD Directive 5137.1, "Assistant Secretary of Defense (Command, Control, Communications, and Intelligence)," April 2, 1985
- (q) DoD Directive 5100.41, "Executive Agent Responsibilities for the National Communications System (NCS)," July 23, 1979
- (r) "Communication Act of 1934," June 19, 1934, as amended
- (s) Executive Order 12472, "Assignment of National Security and Emergency Preparedness Telecommunications Functions," April 3, 1984
- (t) DoD Directive 5118.3, "Assistant Secretary of Defense (Comptroller)," July 11, 1972
- (u) DoD Directive 5125.1, "Assistant Secretary of Defense (Reserve Affairs)," January 12, 1984
- (v) DoD Directive 5142.1, "Assistant Secretary of Defense (Legislative Affairs)," July 2, 1982
- (w) DoD Directive 5124.2, "Assistant Secretary of Defense (Force Management and Personnel)," July 5, 1985
- (x) DoD Directive 5136.1, "Assistant Secretary of Defense (Health Affairs)," October 5, 1984
- (y) DoD Directive 5122.5, "Assistant Secretary of Defense (Public Affairs)," June 15, 1982
- (z) DoD Directive 5145.1, "General Counsel of the Department of Defense," January 7, 1959
- (aa) DoD Directive 5141.1, "Assistant Secretary of Defense (Program Analysis and Evaluation)," September 22, 1982
- (bb) DRB Memorandum 84-16, Memorandum for Members of the Defense Resources Board (DRB), May 25, 1984
- (cc) DoD Directive 5148.2, "Assistant to the Secretary of Defense (Atomic Energy)," February 4, 1986
- (dd) DoD Directive 5138.3, "Assistant Secretary of Defense (Special Operations and Low-Intensity Conflict)," January 4, 1988
- (ee) DoD Directive 5106.1, "Inspector General of the Department of Defense," March 14, 1983

- (ff) DoD Directive 5158.1, "Organization of the Joint Chiefs of Staff and Relationships with the Office of the Secretary of Defense," May 1, 1985
- (gg) DoD Directive 5105.40, "Defense Mapping Agency," April 23, 1986
- (hh) DoD Directive 5105.19, "Director, Defense Communications (DCA)," August 10, 1978
- (ii) Joint Chiefs of Staff Pub. 1, "Department of Defense Dictionary of Military and Associated Terms," June 1, 1987
- (jj) DoD Directive 5105.22, "Defense Logistics Agency," August 15, 1986

DEFINITIONS

1. Alternate Headquarters. An existing facility currently manned and capable of assuming essential emergency functions if the primary headquarters cannot operate or relocate.
2. Civil Defense. All those activities and measures designed or undertaken to:
 - a. Minimize the effects upon the civilian population caused, or that would be caused, by an attack upon the United States.
 - b. Deal with the immediate emergency conditions that an attack would create.
 - c. Make emergency repairs or restore vital utilities and facilities destroyed or damaged by an attack.
3. Control Organization. An organizational entity that is formed to continue operations and determine what portions of the total organization must be reconstituted first.
4. Crippling. The degree of destruction, disruption, and loss of life which, while not decisive, would raise serious questions as to the ability of the United States to recover and regain its former status.
5. Crisis Coordination Group (CCG). The CCG, which is a part of the CMS, consists of DoD Component members and civil Departments and Agencies who gather in the Crisis Coordination Center during a crisis for disseminating and coordinating timely information on key issues.
6. Crisis Management System (CMS). The CMS is a standby system that is activated by the USD(P), or authorized representative, during a crisis. The CMS facilitates the staffing process, and ensures that OSD senior staff officials are provided the mechanisms and procedures essential to enable them to perform their emergency management responsibilities. (See enclosure 3.)
7. Essential Emergency Functions. Those functions of the Federal Government that are necessary for performing the operations of the Government in wartime and that are indispensable to the conduct of assigned missions.
8. Executive Document. Any document requiring Presidential approval.
9. Graduated Mobilization Response (GMR). (See definition 11., below.) The process by which the United States responds to early ambiguous or explicit warning of an emerging national security emergency, including preplanned incremental steps to react flexibly to a wide range of national security threats, and provide timely preparedness measures in the areas of force readiness, industrial base preparedness, operational requirements, and combat sustainability.
10. Legislative Document. Any document requiring congressional enactment or adoption.

11. Mobilization

a. The act of assembling and organizing national resources to support national objectives in time of war or other emergencies.

b. The process by which the Armed Forces, or part of them, are brought to a state of readiness for war or other national emergency. This includes activating all or part of the Reserve components as well as assembling and organizing personnel, supplies, and materiel. (See JCS Pub. 1 and DoD Directive 3020.26 (references (ii) and (f)).)

12. National Emergency. A condition declared by the President or Congress by powers previously vested in them that authorize certain emergency actions to be undertaken in the national interest.

THE OSD CMS

A. GENERAL

1. The OSD CMS is a standby system to be activated at the call of the USD(P). The CMS enables the OSD to accomplish its essential emergency functions effectively in times of major national security crises, focusing primarily on those crisis management activities in which OSD principals below the level of the Secretary and the Deputy Secretary of Defense play the major roles. The CMS permits:

- a. The rapid coordination of multiple actions.
- b. The dissemination to OSD principals of all information essential to informed decision making.
- c. The resolution of issues at the lowest appropriate levels.
- d. The surfacing of coordinated recommendations to the Secretary of Defense for a decision or recommendation to higher authority. Additionally, the CMS provides a central locus for the Secretary of Defense and other OSD and DoD principals to determine the status of crisis-related activities for which the OSD is responsible.

2. Activation of the CMS does not alter existing lines of authority or responsibility within the Department of Defense. Senior OSD executives, the JCS, the Joint Staff, the Unified and Specified Commanders, and the Military Departments retain authority for their area of responsibility (to implement decisions and actions). The CMS facilitates the staffing process and ensures that the OSD senior staff officials are provided the information, mechanisms, and procedures essential to the discharge of their emergency management responsibilities.

B. ORGANIZATION. The basic CMS elements are as follows:

1. A Crisis Management Council chaired by the Secretary of Defense.
2. Several functionally oriented boards and committees chaired at the USD or ASD, and the DUSD or DASD levels, respectively.
3. A Program Review Group (PRG) to support deliberations on planning, program, and budget issues.
4. A CCG to provide a central point of contact, information, and coordination within the OSD for crisis matters.

C. FUNCTIONING

1. The CMS boards and committees and the PRG meet at the call of their chairpersons to exchange information; deliberate on major crisis issues; and provide advice, coordination, and recommendations to their chairpersons. At meetings of the Crisis Management Council, OSD principals shall ensure that any dissenting views they may hold are presented to the Secretary of Defense. Similarly, the Secretary of Defense shall ask the Secretaries of the Military Departments to attend when Service interests are involved in the issues to be

considered. The Secretaries of the Military Departments, the Service Chiefs, and the OSD principals shall continue to have direct and full access to the Secretary of Defense. The JCS shall advise the Secretary on matters within their statutory responsibilities, as they do now.

2. The CMS boards and committees have no intrinsic authority. They are designed to assist their chairpersons in the discharge of the responsibilities of those chairpersons. It is expected that the chairpersons and the executive secretaries shall convene only those members required to address the specific issues at hand. This may be less than, or more than, the nominal membership established for the board or committee. Although there may be a logical flow of functional issues from committees to boards, committees do not report to, nor are they supervised by, specific boards. The normal staff relationships among the OSD principals who chair the boards and committees continue to function in the crisis.

3. The PRG is the same group that supports the DRB during noncrisis activities. When functioning as part of the CMS, the PRG shall work directly for the Crisis Management Council.

4. After activation of the CMS, crisis-related staff activities requiring broad OSD attention shall be monitored by the CMS CCG. The CCG is comprised of representatives from OSD Components and liaison officers from the Joint Staff, the Military Departments, appropriate DoD Agencies, and other Federal Departments and Agencies, depending on the nature of the crisis. The CCG provides timely dissemination of crisis information to appropriate offices; facilitates coordination within the OSD and between the OSD and other DoD Components and the civil sector of the Government; and maintains and briefs the status of crisis-related activities within the OSD. The CCG convenes in the OSD Crisis Coordination Center, Pentagon, Room 3C912.

5. The CCG representatives function essentially in coordination and information exchanging roles. There shall be issues arising that are within the authority of a CCG representative to resolve. The CCG staff representatives shall draw on their parent offices for support, guidance, and information, as required.

6. The OSD CMS is a dynamic system. The principal OSD CMS test and evaluation vehicle is the national security exercise program. Enhancements and adjustments are made both during and following each major exercise. In an actual national security emergency, the CMS equally shall be flexible in adjusting to the specifics of the crisis at hand. Recommendations for adjustments, improvements, or changes should be addressed to the Director, OSD Crisis Coordination Center, Office of the Deputy Under Secretary of Defense (Policy), Room 3C912, Pentagon, Washington, D.C. 20301-2000.

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DEPARTMENT OF DEFENSE

DIRECTIVES SYSTEM TRANSMITTAL

NUMBER	DATE	DISTRIBUTION
3020.36, Change 1	March 12, 1993	3000 Series
ATTACHMENTS		
None		

INSTRUCTIONS FOR RECIPIENTS

The following pen change to DoD Directive 3020.36, "Assignment of National Security Emergency Preparedness (NSEP) Responsibilities to DoD Components," November 2, 1988, is authorized:

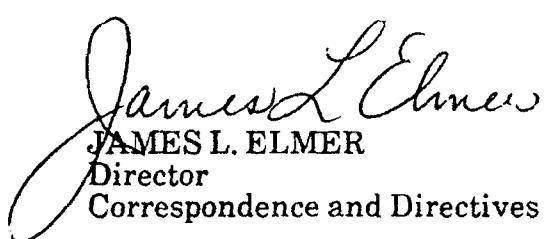
PEN CHANGES

Page 10

Paragraph E.14.e., line 1. Change "Master Mobilization Plan" to "Master Mobilization Guide"

EFFECTIVE DATE

The above change is effective immediately.



JAMES L. ELMER
Director
Correspondence and Directives

WHEN PRESCRIBED ACTION HAS BEEN TAKEN, THIS TRANSMITTAL SHOULD BE FILED WITH THE BASIC DOCUMENT